

**Office Management**

# **Duplicate Emergency Files Program**

**Headquarters  
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Washington, DC  
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**Unclassified**

# ***SUMMARY of CHANGE***

AR 340-26

Duplicate Emergency Files Program

Effective 15 June 82

Office Management

## Duplicate Emergency Files Program

By Order of the Secretary of the Army:

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### History.

**Summary.** This revision updates procedural guidance and provides implementing instructions for a standard Duplicate Emergency Files Program (DEFP) to support the HQDA

Continuity of Operations Plan (HQDA CO-OP). This program was formerly the DA Alternate Files Program.

**Applicability.** See paragraph 1-2.

**Proponent and exception authority.** Not applicable.

**Army management control process.** Not applicable.

**Supplementation.** Limited local supplementation of this regulation is permitted, but is not required. If supplements are issued, HQDA agencies and major Army command (MACOMs) will furnish two copies of each to HQDA (DAAG-AMR-P), Alexandria, VA 22331. Other commands will furnish one copy of each to the next higher headquarters.

**Interim changes.** Interim changes to this regulation are not official unless they are authenticated by The Adjutant General. Users

will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

**Suggested Improvements.** The proponent agency of this regulation is The Adjutant General's Office. Users are invited to send comments, and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms (through command channels to HQDA (DAAG-AMR-P), ALEX, VA 22331.

**Distribution.** To be distributed in accordance with DA Form 12–9A requirements for AR, Office Management.

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**Glossary**

## Chapter 1 GENERAL

### 1-1. Purpose.

This regulation prescribes policies and provides guidance and implementing instructions in support of the HQDA Continuity of Operations Plans (HQDA COOP). The implementing instructions include selecting, distributing, storing, filing, safeguarding, accountability, and inventory of material placed in the duplicate emergency files depositories. Procedures are outlined for maintaining the Duplicate Emergency Files Master Inventory (DEFMI) and for producing reports from this inventory.

### 1-2. Applicability.

*a.* This regulation applies to the following agencies or activities, as defined in HQDA COOP:

- (1) All HQDA Staff agencies.
- (2) All Duplicate Emergency Files Depositories.
- (3) DA alternate headquarters.
- (4) DA emergency relocation sites.

*b.* This regulation serves as a model for all duplicate emergency files programs operated by—

- (1) Other DA agencies.
- (2) Field operating agencies subordinate to HQDA.
- (3) MACOMs.
- (4) US Army Reserve.
- (5) Army National Guard.

### 1-3. Related publications and forms.

- a.* HQDA Continuity of Operations Plan (HQDA COOP).
- b.* AR 18-1 (Army Automation Management).
- c.* AR 340-1 (Records Management Program).
- d.* AR 340-8 (Army Word Processing Program).
- e.* AR 380-5 (DA Information Security Program Regulation).
- f.* AR 380-20 (Restricted Areas).
- g.* DA Form 4573 (Document Control and Destruction Certificate) (prescribed by this regulation).
- h.* DA Form 969 (Top Secret Document Record) (referenced only).
- i.* DA Form 3964 (Classified Document Accountability Record) (referenced only).

### 1-4. Policy.

A Duplicate Emergency Files Program (DEFP) has been established to insure—

- a.* The survivability of documents required by a headquarters for essential operations under national emergency.
- b.* That enough documents are available to plan for and implement reconstitution of the Army once the situation has been stabilized.

### 1-5. Objectives.

The objectives of the DEFP are as follows:

- a.* Create and maintain current duplicate files at designated sites to support emergency actions and functions of DA according to the HQDA COOP.
- b.* Provide one complete set of reconstitution files for HQDA and emergency operating files for DA Main Headquarters (DA/MAIN), Office of the Chief of Staff, Army, Advance (OCSA/ADV), and other headquarters.
- c.* Standardize duplicate files material selection, distribution, storage, filing, safeguarding, and inventory.
- d.* Facilitate the user of automatic data processing (ADP) methods for accounting, inventory review, and retrieval of duplicate emergency files material.

### 1-6. Responsibilities.

- a.* Heads of HQDA Staff agencies, in support of continuity of operations at designated alternate headquarters and emergency relocation sites, will—

- (1) Identify and document essential general war functions in a trans/post nuclear attack.

- (2) Organize and maintain duplicate emergency files of all media required to accomplish essential functions.

- (3) Supervise and execute the DEFP in their own and subordinate commands or elements.

- (4) Designate a COOP officer and administration point of contact and furnish their names and telephone numbers, in writing, to HQDA (DAAG-AMR-P), Alexandria, VA 22331, and HQDA(DAMO-ODS), WASH DC 20310.

- (5) Insure that all COOP officers and action personnel are familiar with the DEFP, the files selection process, and their responsibilities in support of the program.

- (6) Conduct semiannual review of duplicate emergency files holdings of their agency or command for completeness and currency. Use the Status of Duplicate Records Report (SDRR) (RCS AG-569) in this review.

- (7) Conduct at least one annual physical review of files maintained in depositories at emergency relocation sites and at the Master Duplicate Emergency Files Depository (MDEFD).

*b.* MACOM commanders will—

- (1) Identify and document essential general war functions in the event of a nuclear attack on the Continental United States (CONUS).

- (2) Develop procedures for establishing and maintaining duplicate emergency files to accomplish those functions in support of continuity of operations.

- (3) When appropriate, be responsive to the Army Staff essential general war functions statements contained in annex B to the HQDA COOP.

- (4) If needed, designate personnel to supervise HQDA duplicate emergency files depositories at their locations.

- (5) Maintain physical security and accountability of such files.

*c.* The Adjutant General (TAG) will—

- (1) Exercise staff supervision over the Army's DEFP.

- (2) Exercise technical supervision over all HQDA duplicate emergency files depositories.

- (3) Supervise and operate the HQDA MDEFD.

- (4) Inspect each HQDA DEFD at least once a year.

- (5) Maintain a current list of COOP officers and points of contact.

- (6) Assign agency codes.

*d.* Commanders of headquarters designed as alternate headquarters will insure that all staff officers assigned to perform functions within the alternate headquarters are familiar with the material in the appropriate section of their DEFD.

*e.* Commanders or other officials directly responsible for operation or support of DEFD sites will insure that—

- (1) Personnel operating the depository are properly cleared for access to defense information at or above the highest level of material on file.

- (2) The storage area provides the required physical security for the highest level of material on file.

*f.* Duplicate emergency files custodians will—

- (1) Receive, file, index, store, safeguard, account for, and dispose of duplicate emergency files material as prescribed in this regulation.

- (2) Issue files material on an individual basis to properly cleared persons with an established "need-to-know."

- (3) Be prepared to rapidly issue or move large amounts of files material under emergency or exercise conditions.

### 1-7. Explanation of terms.

See glossary.

## Chapter 2 FILES SELECTION PROCEDURES

### 2-1. General.

a. Duplicate emergency files material consists of copies of reference and record material, in any form, prepositioned and maintained at alternate sites for the following purposes:

(1) Insure the capability of DA to perform minimum essential missions and functions under conditions of national emergency.

(2) Plan for and implement reconstitution of the Army once the situation has been stabilized.

b. Duplicate emergency files material may include, but are not limited to, the following:

- (1) Operational and mobilization plans.
- (2) Emergency action procedures.
- (3) Instruction and reference documents.
- (4) Mission and policy statements.
- (5) SOPs for critical functions.
- (6) Directives.
- (7) Messages.
- (8) Microforms.
- (9) Prepositioned contingency messages.
- (10) ADP files and documentation.
- (11) Supporting material such as briefings, charts and slides.
- (12) Maps.
- (13) Blueprints.
- (14) Charts.
- (15) International as well as US classified material.

### 2-2. Essential general war functions.

a. The HQDA COOP lists the essential general war functions for the Army. These functions are as follows:

- (1) Executing DA emergency actions.
- (2) Executing existing plans.
- (3) Allocating resources among the competing requirements.
- (4) Reconstituting DA.

b. The responsibility for the performance of these functions could fall to any of the designated emergency relocation sites or alternate headquarters. Therefore, duplicate emergency files must contain materials to support these functions. Files material covering legal, regulatory, and procedural aspects and providing the current data needed for each agency to perform its functions under emergency conditions must be carefully selected and prelocated in DEFDs. A detailed approach to the selection process will insure that duplicate emergency files completely support the requirements while all extraneous material is eliminated.

### 2-3. Duplicate emergency files material selection and maintenance.

a. General. The selection and maintenance of duplicate emergency files material consist of the following five steps:

(1) Realign agency tasks from peacetime to wartime or emergency requirements.

(2) Identify specific wartime or emergency tasks, prepare DA Form 4541 (Essential General War Functions Statement) or DD Form 855 (Emergency Action Statement), and perform initial selection of supporting material.

(3) Review plans and make final selection of material.

(4) Conduct a periodic review of material.

(5) Replace, add, or delete material.

b. Selection of functions. Before selecting material to be located in DEFDs, each agency will—

(1) Determine which functions it must perform in support of DA during national emergency situations. Many of the management, planning, and policy making functions currently performed by DA will be suspended because of higher priority activities; also information and resources required to continue these functions will not be available. During emergencies, some functions must be abolished or delayed until the situation becomes stable. New functions may also be needed. A balance between functions necessary to support the

DA general war or emergency functions and the personnel and facilities available to accomplish them must be reached.

(2) Review and analyze its current peacetime functions to determine the following:

(a) Functions which may be suspended or curtailed without adversely affecting the general effort.

(b) Functions which must be increased.

(c) Functions which must be initiated.

c. Preparation of Essential General War Function Statements or Emergency Action Statements and Initial Selection of Material.

(1) When agency functions during general war or emergencies have been determined, a further analysis is required to reduce these functions to their subfunctions. The requirement for specific detailed actions supporting each continuing function may be documented on DA Form 4541 or DD Form 855. Agencies must keep in mind that these actions may be performed under emergency conditions, at a designated alternate location, and by an individual who may be unfamiliar with the duties. Therefore, each emergency action must be described in enough detail to provide specific guidance and instructions on the following:

(a) Actions to be performed.

(b) Desired result of the actions.

(c) Agencies with whom coordination is required.

(d) Background and reference material providing additional understanding.

(e) Documents containing authority for actions.

(f) Documents, reports, or other sources of current data affecting the action or decision.

(2) A complete analysis of the data needed for each emergency action provides a basis for choice of material to be prelocated in DEFDs.

(3) References will be listed on the DA Form 4541 or DD Form 855 to assist in locating the needed material under emergency conditions. Copies of documents and the DA Form 4541 or DD Form 855 will be forwarded by the preparing agency to appropriate DEFDs.

(4) Emergency operating files will also contain references, authorities, data, and agency support materials (e.g., charts, briefings, slides, logs, ledgers) needed by the relocated or alternate agency to assume work immediately. These files will be used by agencies during the trans-attack (T-A) and post-attack-immediate (P-A(I)) phases of either COOP condition ALPHA or BRAVO. These files should contain the following:

(a) Agency mission and function statements.

(b) Emergency operations and mobilization plans issued by the agency. They may also contain plans issued by another agency, if pertinent to agency functions.

(c) Directives and regulations pertinent to agency functions.

(d) Listings of points of contact, installations of interest, telephone numbers, message addresses, etc. Also include the designated alternates for these agencies, if any.

(e) Agency COOP.

(f) Appropriate Residual Capabilities Assessment documentation.

(g) Standard Operating Procedures (SOP) for essential functions only.

(h) Maps, if overprinted with agency information.

(i) DA/MAIN and OCSA/ADV procedures manuals.

(j) ADP files and documentation pertinent to agency functions.

(5) Using agencies may not have documents in DEFDs that would be used during the COOP phases T-A and P-A(I) as emergency operating files. This situation would occur if the agency does not have essential general war functions during these phases. However, agencies must consider the post-attack long-term phase (P-A(LT)) of the COOP. Documents used during this phase may overlap with those documents used during the P-A(I); therefore, both post-attack phases must be considered when selecting documents for reconstitution purposes.

(6) The following types of material should not be maintained in DEFDs:

(a) General purpose maps.

(b) Local or DOD telephone directories.

(c) Staff directories showing names and telephone numbers.

(d) Army publication libraries. Agencies will prelocate only publications specifically needed for their functions.

(e) Blank forms, other than agency-specific forms.

d. *Files chosen by HQDA agencies for prepositioning.* Duplicate emergency files material chosen by HQDA agencies for prepositioning in any other HQDA DEFD must also be deposited and maintained in the HQDA Master Duplicate Emergency Files Depository (MDEFD). **EXCLUSION:** This requirement does not apply to essential ADP files, programs, and system documentation; these are primarily prepositioned at depository F, or at such other depository as may be chosen by the agency. There is no requirement to duplicate any prepositioned ADP tapes, files, programs, or systems documentation at the MDEFD.

e. *Periodic review of material.* See paragraph 3-4.

f. *Addition, deletion, replacement, change or transfer of material.* Files selection is a continuing process. As the situation changes, material must be added, deleted, replaced, changed, or transferred to keep data current.

## **Chapter 3**

### **DISTRIBUTION, ACCOUNTABILITY, FILING, STORAGE, AND INVENTORY**

#### **3-1. Transaction procedures.**

a. Responsible agencies will reflect duplicate emergency files material transactions (adding, replacing, changing, deleting and returning), on DA Form 4573 (Document Control and Destruction Certificate). Deletions resulting from the semiannual reports review of duplicate files holdings are described in paragraph 3-4. Appendix A shows when a DA Form 4573 is used and describes its preparation in detail. Appendixes B through D give specific guidance for each type of transaction. Agency code numbers to be used are shown in appendix E. The construction of unclassified short titles to be used is explained in appendix F.

b. DA Form 4573 is available through normal publications channels. Its use is mandatory for all agencies and activities to which this regulation applies; its use is recommended, in the interests of standardization and efficiency, for all others (para 1-2b). However, where such other agencies and activities determine that their unique requirements (geographic dispersal, routing procedures, etc.) are not adequately served by DA Form 4573, command-developed document control procedures may be used.

c. A separate DA Form 4573 will be prepared for each transaction and for each depository concerned.

d. All material selected will be dispatched by the agency concerned, using DA Form 4573. (See app A.).

e. To increase the usability of files, material which is rescinded, superseded, or no longer relevant to an agency's functions will be deleted. Material may be deleted only by one of the following methods:

(1) By forwarding instructions on DA Form 4573 to the depositories. (See app D.).

(2) In conjunction with the semiannual review, by annotating the listing of duplicate emergency files material provided by the Status of Duplicate Records Report (SDRR) (RCS AG-569). See paragraph 3-4.

f. As material is superseded, it must be replaced by the current material. This transaction is accomplished as shown in appendix C.

g. As changes to material are published, changes must also be made to duplicate emergency files holdings to insure that holdings are current. This is accomplished as shown in appendix C.

#### **3-2. Accountability for files material.**

a. DA Form 4573 provides accountability for all files material between the originating agency and the DEFD. It serves as a record of destruction for all material destroyed at the depository. The form also provides signature accountability for documents issued to individuals on a temporary basis.

b. Detailed accountability procedures for duplicate emergency files depositories are in chapter 4.

#### **3-3. Filing and indexing.**

a. All material entered into the duplicate emergency files system by agencies will be assigned a distinctive control number by the agency concerned. This number will be constructed as shown in appendix A.

b. Material will be filed in control number sequence.

#### **3-4. Semiannual review procedures.**

a. Mandatory review of the SDRR (RCS AG-569) will be conducted by each agency semiannually. The activity supporting the HQDA program will furnish the SDRR to the HQDA MDEFD for distribution as of 31 May and 30 November each year.

b. If deletions are desired, they will be indicated on the SDRR by lining through the entry to be deleted and entering disposition instructions (D for destruction and R for return to agency) in the right margin. One copy of the report, with changes entered, will be returned to the proper files depository by the suspense date shown on the letter of transmittal to the agency. One complete copy, showing all changes made at all depositories, will be returned to the MDEFD by HQDA agencies.

c. Any additions, changes, or replacements of material generated by the semiannual review will be accomplished using DA form 4573. Follow procedures in paragraph 3-1.

## **Chapter 4**

### **DEPOSITORY OPERATIONS**

#### **4-1. Personnel security.**

a. Before a person begins work in a DEFD, he or she will possess the required security clearances. All persons who are no longer authorized access to duplicate emergency files material will be debriefed when access is withdrawn.

b. Depositories will maintain a DA Form 1999 (Restricted Area Visitor Register) by calendar year.

#### **4-2. Types of control files maintained.**

a. *Master deck (active).* This file contains the card copy of DA Form 4573 showing which documents are currently reflected on the SDRR.

b. *Suspense file.*

(1) This file contains the card copy of DA Form 4573 for transactions which have not yet appeared on the monthly transaction list. After the transaction appears on the transaction list, the card will be removed from the suspense file and placed in the master deck or the destruction/inactive file as appropriate.

(2) Exception: Cards on material returned to agencies will not be removed from the suspense file until the transaction appears on the transaction list and a receipt from the responsible agency is obtained. In this case, the receipt will then be stapled to the card copy and both filed in the destruction/inactive file.

c. *Destruction/inactive file.* This file contains the card copy of DA Form 4573 reflecting material destroyed. It also contains the card copy and receipt copy for material which was returned to the agency.

#### **4-3. Arrangement of files.**

Duplicate emergency files material will be arranged in DEFDs by agency in control number sequence.

#### **4-4. Issuing files.**

Duplicate emergency files depositories are responsible for issuing files immediately to users under emergency or exercise conditions. Files may be issued individually or in bulk.

a. *Bulk issue.* During actual emergencies or exercises, files may be issued in bulk or by referring to the latest SDRR for files identification. A properly cleared recipient's signature on the SDRR

constitutes a valid receipt for all material issued. After issue, classified material will be controlled in accordance with applicable security regulations.

*b. Individual issue.* Duplicate emergency files material may be issued individually by using the card copy of DA Form 4573 (fig. A-2) filed in the master deck or suspense file. The signature of the recipient on the reverse of the card copy constitutes a valid receipt for the material described by the form. The DA Form 4573 will be kept in the suspense file until the material is returned to the depository. At that time, depository personnel will—

- (1) Line out the recipient's signature.
- (2) Date and initial the line out.
- (3) Refile the card copy of DA Form 4573.
- (4) Place the returned material in the proper file.

#### **4-5. Files security.**

*a. Storage.* Storage of duplicate emergency files material will be in accordance with chapter 5, AR 380-5 and paragraph 4e, AR 380-15 for the highest classification of material maintained in the depository.

*b. Inventories.*

(1) Inventories will be conducted at prescribed time intervals in accordance with regulations for specific categories of material; i.e., ATOMAL, COSMIC, SIOP, TOP SECRET, and JCS Sighting.

(2) Joint inventories will be conducted as prescribed by paragraph 7-300b3, AR 380-5.

#### **4-6. Receipt of material.**

*a.* All material to be maintained in duplicate emergency files depositories will be forwarded, with a DA Form 4573, directly to the appropriate depository.

*b.* The agency will post all changes before sending the material to the proper depository. Material received at depositories with unposted changes will be returned to the agency for posting.

*c.* On receipt of material, depository personnel will process it as follows:

(1) Check DA Form 4573 to insure that the information properly identifies the material received. Also check to see that the proper transaction code has been entered in item 1i.

(2) Check the master deck and suspense files to insure that the control number has not been duplicated.

(3) Place the control number (items 1a through 1d) on the material.

(4) For TOP SECRET material, prepare one copy of DA Form 969 (TOP SECRET Document Record) and attach it to the cover of the material.

(5) Sign and return one copy of the DA Form 4573 for TOP SECRET and SECRET material to the agency as the receipt. Initial and return one copy on all other material.

(6) Place the material and one copy of DA Form 4573 in file in control number sequence.

(7) Distribute the remaining copies of DA Form 4573 as shown in paragraph A-3.

#### **4-7. Deletion, destruction or return of material.**

*a.* Agencies may delete material from their holdings in DEFDS by use of the SDRR or as an individual transaction, using DA Form 4573.

*b.* Material to be destroyed in accordance with agency instructions on the SDRR will be processed by depositories as shown below.

(1) Withdraw all copies of DA Form 4573 which apply to the material. These include the card copy from the master deck or suspense file and copies filed with the material.

(2) Destroy the material in accordance with proper security regulations.

(3) For TOP SECRET material, complete item 10. The signature of the custodian and witness in items 12 and 13 constitutes a valid destruction certificate for the material listed. The control number (item 1a through 1d) meets the requirements for a serial number as

prescribed by paragraph 9-102e, AR 380-5. DA Form 3964 (Classified Document Accountability Record) will not be used for destruction of an entire document.

(4) For SECRET, CONFIDENTIAL, and FOR OFFICIAL USE ONLY material, complete items 10 and 12.

(5) For UNCLASSIFIED material, complete item 10.

(6) Distribute copies of DA Form 4573 as follows:

*(a)* Accumulate single copies and forward to HQDA MDEFD or supporting activity as appropriate.

*(b)* Place card copy in suspense file. When transaction appears on the monthly transaction listing (para 5-6), remove card copy from suspense file and place in the destruction/inactive file.

*c.* Material to be returned to the responsible agency in accordance with instructions on the SDRR is processed by depositories as follows:

(1) Remove the material and all copies of DA Form 4573 from the file.

(2) Complete item 10 on one copy and the card copy of DA Form 4573. Date and sign the card copy.

(3) Distribute DA Form 4573 as follows:

*(a)* Send one copy to the originating agency with the material to be returned.

(Note. On receipt of material, the originating agency will complete item 11 to show receipt of returned material and will return the copy to the depository.)

*(b)* Place the card copy in the suspense file. When signed receipt copy is returned to the depository, remove the card copy from the suspense file, staple the receipt copy to it, and place both in the destruction/inactive file.

(4) Return material to the originating agency by mail or Armed Forces Courier Service (ARFCOS) as dictated by classification of material. Post item 10 of suspended card copy with registry or ARFCOS number.

*d.* Material to be returned or destroyed in response to an agency originated DA Form 4573 will be processed as shown in b and c above. Depositories not serviced by the HQDA MDEFD will accumulate the original copies of DA Form 4573 and forward them to the supporting activity for processing.

#### **4-8. Replacement of material.**

*a.* Material to replace items on file at a depository will be forwarded using DA Form 4573, by the agency concerned.

*b.* On receipt of replacement material, the depository will—

(1) Remove the replaced material from file and check instructions in items 1i, 3, and 7 of the DA Form 4573 forwarding the new material.

(2) Process the new material as prescribed in paragraph 4-6.

*c.* Replaced material that is to be destroyed within the depository will be handled as follows:

(1) Remove and destroy the copy of DA Form 4573 filed with the material.

(2) Destroy material in accordance with security regulations.

(3) Remove card copy from the master deck or suspense file and process as follows:

*(a)* For UNCLASSIFIED, FOR OFFICIAL USE ONLY, CONFIDENTIAL, and SECRET material, complete items 10 and 12.

*(b)* For TOP SECRET material, complete items 10, 12, and 13.

*(c)* Place the completed card copy, showing destruction, in the suspense file until the control number is shown as a deletion on the next transaction listing. The card copy is then placed in the destruction/inactive file.

*d.* Replaced material that is to be returned to the agency will be handled as shown in paragraph 4-7c.

#### **4-9. Changes to material.**

*a.* The responsible agency will send instructions to change material to the depository concerned, using DA Form 4573.

*b.* The depository will—

(1) Remove the material and all copies of DA Form 4573.

(2) Post changes to the material (provided that the basic material



is already on file and the current action is a change to that material—otherwise, see para 4–6b.)

(3) For TOP SECRET material, use DA Form 3964 to account for the destruction of superseded pages. DA Form 3964 will be serial numbered by calendar year and disposed of in accordance with AR 340–18–1.

(4) Destroy copies of the removed DA Form 4573.

(5) Distribute copies of the new DA Form 4573 received with the material as shown in appendix A.

#### **4–10. Transfer of material.**

*a.* An agency that needs to transfer material—

(1) To another agency will coordinate with the gaining agency, the depositories concerned, and the HQDA MDEFD.

(2) Within the agency, will coordinate with the HQDA MDEFD.

*b.* The HQDA MDEFD will determine the method to be used to transfer material.

## **Chapter 5 DUPLICATE EMERGENCY FILES MASTER INVENTORY (DEFMI)**

### **5–1. Sources of support.**

*a.* TAG will receive support from the servicing data processing installation (DPI) for the HQDA Duplicate Emergency Files Program (DEFP).

*b.* MACOMs may use management information systems (MIS) or word processing systems (WPS) in support of their DEFP.

*c.* TAG (DAAG–AMR–PR) will provide documentation and programming instructions for the SDRR on request.

### **5–2. Responsibilities.**

Activities designated to support the DEFP are responsible for—

*a.* Support in the maintenance of the DEFMI.

*b.* Production of the SDRR from the DEFMI.

*c.* Production of special reports and listings from the DEFMI.

*d.* Production and storage of current duplicate masters in their backup files.

(1) Computer master tapes will be translated to Extended Binary Coded Decimal Interchange Code (EBCDIC) prior to storage.

(2) Word processing masters (tapes, disk, card) will be identified by manufacturer and language used.

### **5–3. Maintenance of DEFMI.**

The DEFMI will be updated as shown below, by the symbol selected in item 1i of DA Form 4573.

*a. Adding new material (transaction code A).* Code A transactions will be merged with information on the DEFMI in control number sequence (items 1b, 1c, and 1d, DA Form 4573).

*b. Replacing or changing material (transaction code C).* Code C transactions will cause information shown on the DEFMI for that particular control number to be updated.

*c. Deleting material (transaction code D).* Code D transactions will cause deletion of that control number and the symbols in the column on the SDRR for the depository from which deleted. If the material is deleted from all depositories, all data regarding the material will be deleted from the agency's portion of the DEFMI.

### **5–4. Production of Status of Duplicate Records Report (SDRR) (RCS AG–569).**

Activities supporting the DEFMI will produce the SDRR in the format prescribed by TAG. The DPI supporting the HQDA program will produce the SDRR as requested by the MDEFD. All copies will be sent to the MDEFD for distribution.

### **5–5. Production of special reports and listings.**

*a.* To aid in files management, agencies, activities and depositories may request special reports and listings from the DEFMI. These requirements cannot always be anticipated; therefore, supporting

activities will be prepared to produce, as a minimum, the following listings or combinations:

(1) All material by depository (item 1a, DA Form 4573).

(2) All material by agency (item 1b, DA Form 4573).

(3) All material by classification (item 1e, DA Form 4573).

*b.* For the HQDA DEFP, reports and listings may be requested from the MDEFD. By title listings may be requested from depository A and/or B.

### **5–6. Production of transaction lists.**

Activities supporting DEFMI will prepare a monthly update of all transactions made on the DEFMI. They will furnish agencies and depositories with printouts of this update. The DPI supporting the HQDA program will send all copies to the MDEFD for distribution.

## Appendix A DOCUMENT CONTROL AND DESTRUCTION CERTIFICATE (DA FORM 4573)

### A-1. General.

a. DA Form 4573 will be used in the forwarding, receipt, control and destruction of duplicate emergency files material.

b. This form provides for single-item entries and provides agencies with an accurate unclassified means to identify materials that are on file at depositories. It will not contain classified or For Official Use Only (FOUO) information.

### A-2. Preparation.

DA Form 4573 (fig A-1) will be prepared as follows:

a. Items 1 through 9 will be completed by the agency. See appendix B through E for items required for specific transactions.

(1) Items 1a through 1i will contain complete unclassified material control and identification data. The control number (items 1a through 1d) will be constructed as follows:

(a) The first character (item 1a) will be alphabetic; it identifies the depository in which the material is to be filed. Depository code letters for HQDA depositories are in annex F to the HQDA COOP. MACOMs may assign their own depository codes, beginning with the letter G.

(b) The second and third characters (item 1b) will be numeric. These double numbers designate the agency in whose files the material will be stored. Appendix # lists the HQDA codes used for this purpose.

(c) The fourth and fifth characters (item 1b) will be alphabetic. They are used to control the arrangement of files within the files area of each agency using a depository. These characters may be used to consolidate the files of internal division, directorates, or branches within the agency or to effect any other internal files arrangement desired. Agencies will develop this set of characters. The letters I, O, and Q will not be used.

(d) The 6th through 10th characters (item 1c) will be numeric. They will be sequentially assigned to identify a specific piece of material within each agency. Only one item from any agency will be filed under any number within a depository; that is, copies No.1 and No.2 on file in the same depository will bear different control numbers. Like material filed in more than one depository will bear the same control number; however, item 1a will reflect the proper letter for the depository in which filed. For example, copies of a document filed in depositories A, B, and C will bear the same control number except for the first letter, i.e., A 07CD 00002, B 07CD 00002 and C 07CD 00002.

(e) The 11th and 12th characters (item 1d) are sequentially assigned to show later changes to material on file (if changes are numbered). If no changes are entered, the 11th and 12th characters will be entered as zeros. For example, C 06AB 00002 04 shows that four changes to control number C 06AB 0002 have been filed.

(2) Item 1e will contain a symbol to show the classification of the material. Use the following symbols:

T – TOP SECRET

S – SECRET

C – CONFIDENTIAL

O – FOR OFFICIAL USE ONLY

U – UNCLASSIFIED

(3) Item 1f will contain the document copy number, if any.

(a) Enter zeros to the left if the copy number is less than three digits.

(b) Enter three zeros if document is not numbered.

(c) Copy numbers that include alpha characters or are in excess

of three digits will not be entered in item 1f; instead, enter three zeros, and

(d) Then enter the copy number in item 1h following title, space permitting. If there is insufficient space following title in item 1h, then enter the copy number in item 4, remarks.

(4) Item 1g will contain a six-digit number to show only the date of the basic material. It will be shown as year, month and day. For example, 30 September 1981 will be entered as 810930. Julian dates will not be used.

(5) Item 1h will contain an unclassified title of the material. The title will not exceed 42 characters and spaces. See appendix F for constructing short titles.

(6) Item 1i will contain one of the following symbols to show the type of transaction desired:

A – Addition of material, requiring assignment of a control number, to agency files.

C – Change to or replacement of material on file which has an assigned control number.

D – Deletion of material through destruction or return to agency.

(7) Item 2 is used to show whether items sent are magnetic tapes or systems documentation. Place an X in the proper box.

(8) Item 3 is used to show whether material with a D in item 1i is to be destroyed in the depository or returned to the agency. Place an X in the proper box.

(9) Item 4 is used to reflect the date of a change to material already on file or to provide for additional remarks by the preparing agency. The identification number of ADP tapes being transmitted may be put in this space.

(10) Item 5 will contain the mailing address of the agency from which material is being sent.

(11) Item 6 provides the agency the and depository with a rapid and effective means of identifying material being sent to more than one depository. Place an X in the box for each depository to which the material is being sent.

(12) Item 7 is used to reflect the old control number of material being replaced when using the procedure shown in figure B-2.

(13) Item 8 is the date, shown in six-digit form, that the agency dispatched the material to the depository. It will be shown as year, month, and day, as in (4) above.

(14) Item 9 is used only when the material being forwarded is sent via accountable mail or via ARFCOS.

(15) Item 10 is used by the depository to show the final disposition of material.

(16) Item 11 is used to show the receipt of material forwarded on the DA Form 4573 to the depository or material returned to an agency.

(17) Items 12 and 13 are used to certify destruction of material shown on the DA Form 4573.

b.

### A-3. Reverse of DA Form 4573.

The reverse side of DA Form 4573 (fig A-2) is for depository use only. It will be completed by depository personnel as described in chapter 4.

### A-4. Distribution.

The DA Form 4573, a six-part form, will be distributed as follows:

a. Agencies serviced by the HQDA MDEFD will send the original to the MDEFD for processing. Other agencies will send the original to their servicing depository where they will be accumulated and forwarded to the supporting activity for processing.

b. The originating agency will retain one copy as a suspense copy.

c. One copy is returned by the depository to the originating agency to serve as a receipt copy.

d. The originating agency may retain one copy as an internal

receipt or may send it with the material. If sent to the depository, it will be filed with the material.

*e.* One copy will be filed with the material.

*f.* The depository places the card copy in the suspense file until the transaction is reflected on the transaction list or SDRR. The card copy then is placed in the master deck. This copy also serves as the sign-out receipt for individual issue of material and as the destruction certificate upon final disposition of the material by the depository.

#### **A-5. Final disposition of material.**

Upon final disposition of material by the depository, the following actions will be taken:

*a.* The card copy and other copies of DA Form 4573 filed with the material will be withdrawn and properly annotated to reflect the disposition of the material.

*b.* One copy will be forwarded by the depository to either the HQDA MDEFD or supporting activity to update the DEFMI.

*c.* The card copy will be placed in the depository destruction/inactive file and disposed of in accordance with AR 340-18-2.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80										
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1. DOCUMENT CONTROL NO.												CLASS		COPY NO.		DOCUMENT DATE												DOCUMENT TITLE																																																						TC							
2. <input checked="" type="checkbox"/> DOCUMENTATION												<input type="checkbox"/> TAPES		3. REPLACED DOCUMENT IS TO BE:												<input type="checkbox"/> DESTROYED <input checked="" type="checkbox"/> RETURNED																																																															
4. REMARKS												C3 DATED 800426												5. FROM HQDA (DAAA-A) WASH DC 20310																																																																	
6. COPY SENT TO:												<input checked="" type="checkbox"/> A <input type="checkbox"/> B <input checked="" type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input checked="" type="checkbox"/> F <input type="checkbox"/> G <input type="checkbox"/> H <input type="checkbox"/> I <input type="checkbox"/> J																																																																													
7. REPLACES DOCUMENT												8. DATE DISPATCHED 800507												9. REGISTER NO. W82255																																																																	
10. DOCUMENT HAS BEEN:												<input type="checkbox"/> DESTROYED												<input type="checkbox"/> RETURNED												<input type="checkbox"/> ASSIGNED THIS NEW CONTROL NO.:																																																					
11. DATE 800516												NAME AND GRADE OR TITLE OF RECIPIENT JOHN DOE, DAC												SIGNATURE s/John Doe																																																																	
12. DATE 810227												NAME OF PERSON MAKING DESTRUCTION JOHN DOE, DAC												SIGNATURE s/John Doe																																																																	
13. DATE 810227												NAME OF WITNESS DAISY R. ROE												SIGNATURE s/Daisy R Roe																																																																	
DA FORM 4573, MAR 82												EDITION OF NOV 76 IS OBSOLETE.												DOCUMENT CONTROL AND DESTRUCTION CERTIFICATE (AR 340-26)																																																																	

Figure A-1. DA Form 4573 (Document Control and Destruction Certificate) User agencies will complete only those items that apply.

DOCUMENT CHARGE OUT/RECEIPT RECORD

DATE OUT/IN	NAME AND GRADE OF RECIPIENT	SIGNATURE
<del>001022</del>	<del>JOHN SMITH, LTC, GS</del>	<del>801222 BRR s/John Smith</del>

Figure A-2. Reverse of Card Copy, DA Form 4573( for depository use only--see chapter 4, Depository Operations

## **Appendix B**

### **ADDING NEW MATERIAL (TRANSACTION A)**

**B-1.** The transaction code A will be used any time the transaction will require an addition of a control number to the current SDRR, as updated by the monthly transaction list.

**B-2.** This procedure allows agencies to—

- a.* Add new material to files (fig B-1).
- b.* Replace current files material with new material, using a new number, while deleting the old number (fig B-2).

**B-3.** The agency will complete DA Form 4573 as follows:

- a.* Items 1a through 1h will contain the control number, classification, date and title of the material, constructed in accordance with appendix A.
- b.* Item 1i will show transaction code A.
- c.* Item 2 will show the type of ADP product being added, if applicable.
- d.* Item 3 will contain disposition instructions for replaced material when appropriate. See paragraph B-2.
- e.* Items 4 through 9 will be completed as appropriate.

**B-4.** Depositories will comply with paragraph 4-6, 4-7, 4-8, and 4-9, as appropriate.

C	06AA	00009	00	U	000	810915	DA PAM 310-1, INDEX OF ADMIN PUBLICATIONS		A
a	b	c	d	e	f	g	h		i
1. DOCUMENT CONTROL NO.		CLASS		COPY NO.		DOCUMENT DATE		DOCUMENT TITLE	
2. <input type="checkbox"/> DOCUMENTATION		<input type="checkbox"/> TAPES		3. REPLACED DOCUMENT IS TO BE:				<input type="checkbox"/> DESTROYED <input type="checkbox"/> RETURNED	
4. REMARKS							5. FROM		
							HQDA (DAMO-ZXA-A) WASH DC 20310		
6. COPY SENT TO: <input checked="" type="checkbox"/> A <input type="checkbox"/> B <input checked="" type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input checked="" type="checkbox"/> F <input type="checkbox"/> G <input type="checkbox"/> H <input type="checkbox"/> I <input type="checkbox"/> J									
7. REPLACES DOCUMENT			8. DATE DISPATCHED			9. REGISTER NO.			
10. DOCUMENT HAS BEEN: <input type="checkbox"/> DESTROYED <input type="checkbox"/> RETURNED <input type="checkbox"/> ASSIGNED THIS NEW CONTROL NO.:									
11. DATE		NAME AND GRADE OR TITLE OF RECIPIENT					SIGNATURE		
12. DATE		NAME OF PERSON MAKING DESTRUCTION					SIGNATURE		
13. DATE		NAME OF WITNESS					SIGNATURE		

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EDITION OF NOV 76 IS OBSOLETE.

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(AR 340-26)

Figure B-1. Adding new material.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80																				
C	0	6	A	A	0	0	0	1	1	0	0	U	0	0	0	8	0	0	5	1	5	AR 10-45, USA TROOP SUPPORT AGENCY																																		A																																											
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Figure B-2. Adding material with new number while deleting the old number



## **Appendix C**

### **CHANGES TO AND REPLACEMENT OF MATERIAL (TRANSACTION C)**

**C-1.** The transaction code C is used when information in items 1d through 1h or DA Form 4573 changes on the SDRR. Examples of this transaction are shown below:

- a.* Forwarding changes to material in file (fig C-1).
- b.* Forwarding current material to replace obsolete material in file (fig C-2).
- c.* Replacing material in file with different material (fig C-3).

**C-2.** To accomplish a code C transaction, agencies will complete DA Form 4573 as follows:

- a.* Items 1a, 1b, and 1c will not be changed at any time.
- b.* Item 1d will show the number of the change to the basic material which is being transmitted.
- c.* Item 1e will show the highest classification of the total material to remain on file upon completion of the transaction.
- d.* Item 1f will show the copy number of the basic material remaining on file upon completion of the transaction.
- e.* Item 1g will show the date of the basic material remaining on file upon completion of the transaction.
- f.* Item 1h will show the unclassified or short titles of the basic material remaining on file upon completion of the transaction.
- g.* Item 1i will show transaction code C.
- h.* Items 2 through 9 will show the proper data as required in appendix A.

**C-3.** Depositories will comply with paragraphs 4-6, 4-7, 4-8, and 4-9.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	00
C	0	6	A	A	0	0	0	3	4	0	2	C	0	0	0	7	8	0	7	1	3	CINCREC STRIKE OPLAN 4547															C																																																														
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Change #2 dtd 810207										HQDA (DAMO-ZXA-A) WASH DC 20310																																																																																									
6. COPY SENT TO: <input type="checkbox"/> A <input checked="" type="checkbox"/> B <input checked="" type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> F <input type="checkbox"/> G <input type="checkbox"/> H <input type="checkbox"/> I <input type="checkbox"/> J																																																																																																			
7. REPLACES DOCUMENT										8. DATE DISPATCHED 810921										9. REGISTER NO.																																																																															
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Figure C-1. Forwarding changes

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80										
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7. REPLACES DOCUMENT										8. DATE DISPATCHED 811203										9. REGISTER NO. 99944																																																																					
10. DOCUMENT HAS BEEN: <input type="checkbox"/> DESTROYED <input type="checkbox"/> RETURNED <input type="checkbox"/> ASSIGNED THIS NEW CONTROL NO.:																																																																																									
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EDITION OF NOV 78 IS OBSOLETE.

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Figure C-2. Replacing obsolete material.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80
C	1	1	A	A	0	0	3	1	1	0	0	U	0	0	0	8	0	0	3	1	5	AR 5-2, COMPT/DCSRM/DRM																																												C													
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Return AR 5-3 dtd 780101										HQDA (DACA-ZX) WASH DC 20310																																																																					
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DA FORM 4573, MAR 82										EDITION OF NOV 78 IS OBSOLETE.										DOCUMENT CONTROL AND DESTRUCTION CERTIFICATE (AR 340-26)																																																											

Figure C-3. Replacing material with different material.

## **Appendix D**

### **DELETING MATERIAL (TRANSACTION D)**

**D-1.** The transaction code D is used to delete a control number from the SDRR, as updated by the monthly transaction list.

**D-2.** Use of code D allows agencies to effect deletion of the control number and destruction or return of material filed.

**D-3.** Agencies will complete DA Form 4573 (fig D-1) as follows:

- a.* Items 1a through 1h will show that information as it appears on the current SDRR pertaining to returned or destroyed material.
- b.* Item 1i will show transaction code D.
- c.* Item 3 will show an X in the destroy or return box as appropriate.
- d.* Items 4, 5, 6, and 8 will be completed as shown in appendix A.

**D-4.** Depositories will comply with paragraph 4-7.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100										
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1. DOCUMENT CONTROL NO.										2. CLAS										3. COPY NO.										4. DOCUMENT DATE										5. DOCUMENT TITLE										6. TC																																																											
2. <input type="checkbox"/> DOCUMENTATION										<input type="checkbox"/> TAPES										3. REPLACED DOCUMENT IS TO BE:										<input checked="" type="checkbox"/> DESTROYED										<input type="checkbox"/> RETURNED																																																																					
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Figure D-1. Deleting material.

## Appendix E AGENCY CODES

**Table E-1**  
**Agency Codes**

Agency	Code
Office of the Secretary of the Army	01
Office of the Chief of Staff, Army	04
Office of the Deputy Chief of Staff for Personnel	05
Office of the Deputy Chief of Staff for Operations and Plans	06
Office of the Deputy Chief of Staff for Logistics	07
Office of the Assistant Chief of Staff for Intelligence	08
All JCS Paper-ODCSOPS (DAMO-ZCJ)	09
Office of the Comptroller of the Army	11
Office of the Deputy Chief of Staff for Research, Development, and Acquisition	12
Office of the Chief, Army Reserve	14
National Guard Bureau	15
Office of The Adjutant General	16
Office of The Inspector General	17
Office of The Surgeon General	18
Office of The Judge Advocate General	19
US Army Military Personnel Center	21
Office of the Chief of Chaplains	22
Office of the Chief of Engineers	24
US Army Computer Systems Command	28
Army Residual Capabilities Assessment Team	29
US Army Management Systems Support Agency	31
US Army Command and Control Support Agency	32
US Army Reserve Components Personnel and Administrative Center	33

## Appendix F PREPARATION OF SHORT TITLES

### F-1. General.

This appendix provides guidance for developing short titles to identify material within the DEFP. Since ADP procedures are used to control materials within the program, short title must be standardized. Instructions for preparing short titles are shown in paragraph F-2 and will be followed explicitly.

### F-2. Procedures.

*a.* Short titles will be unclassified and as complete as possible, for example: AR 27-20, Legal Services, Claims.

*b.* Titles will not exceed 42 characters, including spaces and punctuation.

*c.* If titles exceed 42 characters they will be shortened by using one or more of the actions below. Each action will be performed, in turn, until the title has been reduced to at least 42 characters.

(1) Eliminate all punctuation.

(2) Use abbreviations for headquarters and agency designations and omit the letters US from the title. Commander-in-Chief, US Army Europe is abbreviated CINCEUR; US Army is abbreviated AR; US Navy is abbreviated N; US Air Force is abbreviated AF, the Department of the Army is abbreviated DA. (Example: AF Aircraft Inventory Status Flying Time.)

(3) Eliminate articles, conjunctions, and prepositions.

(4) If needed, abbreviate annex (ANX), appendix (APP), section (SEC), and operations plan (OPLAN).

(5) If titles exceed 42 characters after performing actions in (1) through (4) above, abbreviate all words by using only the letters up to and including the first consonant after the first vowel. Do not use only the first letter of a word, except as shown in (2) above.

(Example: USA Def Indus Plan Nat Indus Plan Res.)

## Glossary

### Section I Abbreviations

#### ADP

Automatic data processing

#### ARFCOS

Armed Forces Courier Service

#### COOP

Continuity of Operation Plan

#### CONUS

Continental United States

#### DA/MAIN

Department of the Army Main Headquarters

#### DEFD

Duplicate emergency files depository

#### DEFP

Duplicate Emergency Files Program

#### DEFMI

Duplicate Emergency Files Master Inventory

#### DPI

Data processing installation

#### EBCDIC

Extended Binary Coded Decimal Interchange Code

#### ERS

Emergency relocation site

#### MDEFD

Master duplicate emergency files depository

#### MIS

Management information systems

#### OCSA/ADV

Office of the Chief of Staff, Army, Advance

#### P-A

Post-attack (COOP Phase)

#### P-A(I)

Post-attack immediate phase (COOP Phase)

#### P-A(LT)

Post-attack long-term phase (COOP Phase)

#### SDRR

Status of Duplicate Records Report

#### SOP

Standard operating procedures

#### T-A

Trans-attack phase (COOP Phase)

#### TAG

The Adjutant General

#### WPS

Word processing systems

### Section II Terms

#### Alternate Headquarters.

An existing headquarters of a component or subordinate command which is predesignated to assume the responsibilities and functions of another headquarters under prescribed emergency conditions.

#### Condition Alpha.

The HQDA posture resulting from a surprise nuclear attack on the CONUS which destroys the seat of Government and key HQDA personnel. Planning for this condition is based on use of an alternate command element or predesignated alternate headquarters to provide continuity of operations.

#### Condition Bravo.

The HQDA posture resulting from a nuclear attack on the CONUS preceded by sufficient warning, that permits selected HQDA personnel to relocate prior to an attack. Continuity planning is based on selected personnel moving to and working from predesignated emergency relocation sites.

#### Continuity of Operations.

Continuous functions, tasks, or duties needed to accomplish a military action or mission in carrying out the national military strategy. It includes the functions and duties of the commander and his or her staff.

#### Continuity of Operations Phases:\*

*a. Trans-attack Period (T-A).* The time from initial attack, commenced by either Condition Alpha or Bravo, until civil defense personnel decide that radiation levels permit leaving shelters. Functions during this period would include—

- (1) Restoring essential communications.
- (2) Reestablishing line of authority.
- (3) Conduct of military operations and logistical support.
- (4) Maintenance or restoration of law and order support.
- (5) Support of civil defense.
- (6) Residual capabilities assessment.
- (7) Determination of additional attacks on the CONUS.

*b. Post-attack Period (P-A).* The time when damage to facilities and personnel require augmentation or reconstitution of necessary headquarters and staffs to continue essential functions and perform those of the post-attack period. The post-attack period has two phases:

(1) *Post-Attack Immediate Phase (P-A(I)).* Actions relating to recovery, including—

(a) Continuing survival activities and military operations.

(b) Mobilization of military and civilian resources.

(c) Restoration of essential communications and transportation.

(d) Limited procurement and production of essential items.

(2) *Post-Attack Long-Term Phase*

*(P-A(LT)).* Activities related mainly to rehabilitation, restoration, and reconstruction from remaining resources. Many functions and the personnel of organization to perform them which are nonessential in the T-A and the P-A(I) phases becomes essential during this phase.

Note: \*This information has been furnished by DOD and extracted from the HQDA COOP to provide users of this regulation an understanding of the required actions during COOP phases. Documentation for the accomplishment of these actions is an integral part of the DEFP.

#### Continuity of Operations Plan (COOP).

A plan that insures essential DA functions can continue in any national emergency. Included in this planning are the following—

*a. Planning to provide continuity of operations.*

*b. Determining which functions are essential to the operations.*

*c. Programming and funding of readiness testing.*

*d. Announcing common doctrine of continuity of operations within demands.*

#### Duplicate Emergency Files.

Essential directives, instructions, programs, plans, emergency action procedures, and other documents required for essential functions in a national emergency. These files are kept at the alternate and relocation sites. They are generally in two categories as shown below:

*a. Emergency Operating Files.* Duplicate emergency files kept at alternate and relocation sites are used to perform essential general war functions in the trans-attack (T-A) and post-attack immediate (P-A(I)) periods. Copies are also maintained at the MDEFD.

*b. Reconstitution Files.* Duplicate files kept at the MDEFD for use during the P-A(I) (recovery) and P-A(LT) (reconstitution) phases.

#### Duplicate Emergency Files Master Inventory (DEFMI).

A master listing of all current material in duplicate emergency files by control number and depository code. The data processing installation (DPI) supporting the HQDA program keeps this inventory on magnetic tape and produces the SDRR.

#### Emergency Relocation Site (ERS).

A site located where practicable, outside a prime target area where all or portions of a civilian or military headquarters may be moved. It may be inactive or on a standby basis and may, as a minimum, be manned to



provide for the support of the facility, communications, and data base. It should be capable of—

- a.* Rapid activation.
- b.* Supporting the initial needs of the relocated headquarters for a predetermined period.
- c.* Expansion to meet wartime requirements of the relocated headquarters.

**Essential Functions.**

Functions of the DOD activities that are necessary for the activity head, in agreement with the directions of the Secretary of Defense, to carry out needed operations during national emergencies.

**National Emergency.**

A condition declared by the President or the Congress which authorizes certain emergency actions to be undertaken in the national interest. Actions to be taken may include partial or total mobilization of national resources.

**Reconstitution.**

Actions taken under the surviving command authority to reform a damaged or destroyed headquarters from:

- a.* Survivors of the attack, or;
- b.* Personnel from other sources predesignated as replacements.

**Section III**

**Special Abbreviations and Terms**

This section contains no entries.



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